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Sector #3

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number 09/992,480

Filing Date 11/13/2001

First Named Inventor Xinqiao Liu

Group Art Unit 2621

Examiner Name

Total Number of Pages in This Submission

Attorney Docket Number S01-018/US

**ENCLOSURES (check all that apply)**

- ☒ Fee Transmittal Form  
☒ Fee Attached  
☐ Amendment / Reply  
☐ After Final  
☐ Affidavits/declaration(s)  
☐ Extension of Time Request  
☐ Express Abandonment Request  
☒ Information Disclosure Statement  
☐ Certified Copy of Priority Document(s)  
☐ Response to Missing Parts/ Incomplete Application  
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers (for an Application)  
☐ Drawing(s)  
☐ Licensing-related Papers  
☐ Petition  
☐ Petition to Convert to a Provisional Application  
☐ Power of Attorney, Revocation Change of Correspondence Address  
☐ Terminal Disclaimer  
☐ Request for Refund  
☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group  
☐ Appeal Communication to Board of Appeals and Interferences  
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☐ Status Letter  
☒ Other Enclosure(s) (please identify below):

Declaration  
Power of Attorney  
Cited references

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual name

Katharina Wang Schuster, Reg. No. 50,000

Signature

*Katharina Schuster*

Date

Feb. 19, 2002

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 2/19/02

Typed or printed name

Erica Weil

Signature

*Erica Weil*

Date

2/19/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL**  
**for FY 2002**

MAR 05 2002

Patent fees are subject to annual revision.

**Complete if Known**

|                      |             |
|----------------------|-------------|
| Application Number   | 09/992,480  |
| Filing Date          | 11/13/2001  |
| First Named Inventor | Xinqiao Liu |
| Examiner Name        |             |
| Group Art Unit       | 2621        |
| Attorney Docket No.  | S01-018/US  |

**METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

|                        |  |
|------------------------|--|
| Deposit Account Number |  |
| Deposit Account Name   |  |

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

|     | Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|-----|----------------------------|----------------------------|------------------------|----------|
| 101 | 740                        | 201 370                    | Utility filing fee     | 740.00   |
| 106 | 330                        | 206 165                    | Design filing fee      |          |
| 107 | 510                        | 207 255                    | Plant filing fee       |          |
| 108 | 740                        | 208 370                    | Reissue filing fee     |          |
| 114 | 160                        | 214 80                     | Provisional filing fee |          |

**SUBTOTAL (1)** (\$ 740.00)**2. EXTRA CLAIM FEES**

|                    | Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|--------------|----------------|----------|
| Independent Claims | 40           | -20** = 20   | 18.00          | 360.00   |
| Multiple Dependent |              | -3** =       |                |          |

|     | Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|-----|----------------------------|----------------------------|--|
| 103 | 18                         | 203 9                      | Claims in excess of 20                                     |
| 102 | 84                         | 202 42                     | Independent claims in excess of 3                          |
| 104 | 280                        | 204 140                    | Multiple dependent claim, if not paid                      |
| 109 | 84                         | 209 42                     | ** Reissue independent claims over original patent         |
| 110 | 18                         | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ 360.00)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

|     | Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|-----|----------------------------|----------------------------|--|----------|
| 105 | 130                        | 205 65                     | Surcharge - late filing fee or oath  | 130.00   |
| 127 | 50                         | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 | 130                        | 139 130                    | Non-English specification  |          |
| 147 | 2,520                      | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 | 920*                       | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 | 1,840*                     | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 | 110                        | 215 55                     | Extension for reply within first month                                     |          |
| 116 | 400                        | 216 200                    | Extension for reply within second month                                    |          |
| 117 | 920                        | 217 460                    | Extension for reply within third month                                     |          |
| 118 | 1,440                      | 218 720                    | Extension for reply within fourth month                                    |          |
| 128 | 1,960                      | 228 980                    | Extension for reply within fifth month                                     |          |
| 119 | 320                        | 219 160                    | Notice of Appeal   |          |
| 120 | 320                        | 220 160                    | Filing a brief in support of an appeal                                     |          |
| 121 | 280                        | 221 140                    | Request for oral hearing   |          |
| 138 | 1,510                      | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 | 110                        | 240 55                     | Petition to revive - unavoidable   |          |
| 141 | 1,280                      | 241 640                    | Petition to revive - unintentional   |          |
| 142 | 1,280                      | 242 640                    | Utility issue fee (or reissue)   |          |
| 143 | 460                        | 243 230                    | Design issue fee   |          |
| 144 | 620                        | 244 310                    | Plant issue fee  |          |
| 122 | 130                        | 122 130                    | Petitions to the Commissioner  |          |
| 123 | 50                         | 123 50                     | Processing fee under 37 CFR 1.17(q)  |          |
| 126 | 180                        | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 | 40                         | 581 40                     | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 | 740                        | 246 370                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 | 740                        | 249 370                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 | 740                        | 279 370                    | Request for Continued Examination (RCE)                                    |          |
| 169 | 900                        | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 170.00)**SUBMITTED BY****Complete (if applicable)**

|                   |                           |                                   |               |           |              |
|-------------------|---------------------------|-----------------------------------|---------------|-----------|--------------|
| Name (Print/Type) | katharina Wang Schuster   | Registration No. (Attorney/Agent) | 50,000        | Telephone | 408-260-7300 |
| Signature         | <i>Katharina Schuster</i> | Date                              | Feb. 19, 2002 |           |              |

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#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/992,480         | 11/13/2001          | Qinqiao Liu           | S01-018/US             |

MAREK ALBOSZTA  
LUMEN INTELLECTUAL PROPERTY SERVICES  
45 CABOT AVENUE, SUITE 110  
SANTA CLARA, CA 95051

CONFIRMATION NO. 1007

## FORMALITIES LETTER



\*OC000000007213635\*

Date Mailed: 12/19/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$360.
  - \$360 for 20 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1230.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/2002 H44RZ11 00000086 09992480  
FC:101 740.00 OP  
FC:103 360.00 OP  
FC:105 130.00 OP